Attorney Docket: 27269U MAIL STOP PCT U.S. Department Of Commerce, Patent And Trademark Office Date: 2 March 2006(22) 03.2006) Transmittal Letter To The United States Designated/Elected U.S. Application (if known): Not Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371 International Application No.: International Filing Priority Date Claimed: PCT/FR2004/002424 Date: 26 September 2003 (26.09.2003) FR-03 24 September 2004 (24.09.2004) Title of Invention: TOCOPHEROL DERIVATIVES WITH A LONG HYDROXYLATED CHAIN, WHICH CAN BE USED AS NEUROTROPHICS Applicants for DO/EO/US: LUU, Bang HEUSCHLING, Paul MULLER, Thierry MORGA, Eleonora Applicant hereby submits to the Unites States Designated/Elected Office (DO/EO/US) the following items and other information: X This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. X This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. The US has been elected (Article 31).  $\overline{X}$  A copy of the International Application as filed (35 U.S.C. 371(c)(2)): a. X is transmitted herewith (required only if not transmitted by the International Bureau). b. \_\_\_ has been communicated by the International Bureau. c. \_\_\_ is not required, as the application was filed in the United States Receiving Office (RO/US) A English translation of the International Application as filed (35 U.S.C. 371(c)(2). X Amendments to the claims of the International Application under PCT Article 19 (35) U.S.C. 371(c)(3)) \_ are attached hereto (required only if not transmitted by the International Bureau). have been communicated by the International Bureau. c. \_\_\_ have not been made; however, the time limit for making such amendments has NOT expired. d. X have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). A translation of the annexes to the International Preliminary Examination 10. Report under PCT Article 36 (35 U.S.C. 371(c)(5)). ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED: 11.  $\underline{X}$  An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12.  $\underline{X}$  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. The assignment is in favor of UNIVERSITE LOUIS PASTEUR, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE; and UNIVERSITE DU LUXEMBOURG 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG. 13. X A FIRST preliminary amendment. 14. A SECOND or SUBSEQUENT preliminary amendment 15. \_ A substitute specification. A change of power of attorney and/or address letter. 16. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825 A second copy of the published international application under 35 USC 154(d)(4) 18. 19. A second copy of the English language translation of the international application under

35 USC 154(d)(4)

20. X Other items or information:

TRANSMITTAL LETTER; INTERNATIONAL PUBLICATION NUMBER: WO 2005/030748 INTERNATIONAL PUBLICATION DATE: 7 April 2005 (07.04.2005), WITH THE ENGLISH TRANSLATION CONSISTING OF 27 PAGES: 22 PAGES OF TEXTUAL SPECIFICATION, 5 PAGES OF 17 CLAIMS, 0 PAGE OF THE ABSTRACT, 0 SHEETS OF DRAWINGS; PRELIMINARY AMENDMENT WITH ATTACHMENT A AND B TO BE EXAMINED; EXECUTED DECLARATION AND POWER OF ATTORNEY; ASSIGNMENT WITH RECORDATION COVER SHEET TO UNIVERSITE LOUIS PASTEUR, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE; and UNIVERSITE DU LUXEMBOURG 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG; INFORMATION DISCLOSURE STATEMENT WITH 3 CITED REFERENCES; FORM PCT/ISA/237; FORM PCT/IB304; PCT/IB/308; POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST.

## IAP9 Rec'd PCT/PTO 22 MAR 2006

Attorney Docket: 27269U

MAIL STOP PCT

U.S. Application	U.S. Application Number: International Application			Date:	Date: @March 2006 (2203.2006)		
(1f known): Not	(if known): Not Yet Assigned Number: PCT/FR2004/002424				Winten 20	00 (25,03.2006)	
10/5	12935		FR2004/002424				
The following fees are submitted: 21. Basic National Fee (37 CFR 1.492(a))\$ 300.00					ALCULATIONS	PTO USE ONLY	
11			······ \$ 300.00	s	300.00		
22. Examination Fee (37 CFR 1.492 (c))  If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)							
23. Search Fee (37 CFR 1.492(b))					200.00		
If the written opinion of the ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)							
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400.00 All other situations \$500.00				n \$	400.00		
Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium).  The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof.				r			
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$	900.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than $20 = 30$ months from the earliest claimed priority date (37 CFR $1.492$ (e)).				n \$	0.00		
CLATIC	NUMBER:	NUMBER:	RATE				
CLAIMS TOTAL	FILED 17-20=	EXTRA 0	V 0 50 00				
INDEPENDENT	4-3=	1 1	X \$ 50.00 X \$ 200.00	\$	0.00		
Multiple dependent claims(s)					200.00		
(if applicable) + \$360.00					0.00		
TOTAL OF ABOVE CALCULATIONS =					1100.00		
Reduction by 2 for asserting small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28).							
SUBTOTAL =					0.00		
Processing fee of \$130.00 for furnishing the English				\$	1100.00		
translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$	0.00		
TOTAL NATIONAL FEE =				<del>-</del>	1100 5		
Fee for recording the enclosed assignment (37 CFR 1 21(b))				\$	1100.00		
The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	40.00		
TOTAL FEES ENCLOSED =				\$	1140.00		
				Amor	unt to be: unded rged	\$ \$	
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## IAP9 Rec'd PCT/PTO 22 MAR 2006

MAIL STOP PCT Attorney Docket: 27269U Date: March 2006 (2203.2006) U.S. Application Number: (if known): Not Yet Assigned 10/572933 International Application Number: PCT/FR2004/002424  $\underline{X}$  One check in the amount of  $\underline{\$ 1140.00}$  to cover the above fees is enclosed. Please charge my Deposit Account Number: 14-0112 in the amount of \$ b. cover the above fees. (A duplicate copy of this sheet is enclosed.)  $\underline{\mathsf{X}}$  The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112. \_\_\_ Fees are to be charged to a credit card WARNING: Information on this form may become public \_\_\_ Credit Card Information should not be included on this form. Provide credit card information and authorization on PTO-2038 NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status. Send All Correspondence To: Gary M. Nath NATH & ASSOCIATES PLLC 112 South West Street, Alexandria, VA 22314 Tel: 1-703-548-6284 Fax: 1-703-683-8396 Gary M Nath, Reg. No. 26,965 Tanya E. Harkins, Reg. No. 52,993 Customer No. 20529

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MAIL STOP PCT

Attorney Docket: 27269U Date: March 22 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

LUU et al.

Serial No.: Not Yet Assigned Filed: March 2006

Internatl. Appl. No.: PCT/FR2004/002424

Internatl. Filing Date: 24 September 2004 (24.09.2004)

Title: TOCOPHEROL DERIVATIVES WITH A LONG HYDROXYLATED CHAIN, WHICH CAN BE

USED AS NEUROTROPHICS

## TRANSMITTAL LETTER

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- Transmittal Letter;
- 2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371;
- 3) International Publication Number: WO 2005/030748 A1; International Publication Date: 7 April 2005 (07.4.2005), with the English translation which consists of 27 pages:
  - 22 pages of Textual Specification,
    - 5 pages of 17 Claims,
    - O sheets of the Abstract,
    - 0 sheets of Drawings;
- 4) Preliminary Amendment with Attachment A and B to be examined;
- 5) Executed Declaration and Power of Attorney;
- Executed Assignment with Recordation Cover Sheet to: UNIVERSITE LOUIS PASTEUR, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE, and UNIVERSITE DU LUXEMBOURG 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG;
- 7) Information Disclosure Statement;
- 8) PTO Form 1449 with 3 cited references;
- 9) Form PCT/ISA/237;
- 10) PCT/IB/304;
- 11) PCT/IB/308;
- 12) Copy of 2 of the 3 cited references;
- 13) Check No.: 1864 in the Amount of \$ 1140.00 for the Basic Filing Fee, which includes the Search, and Examination Fees (\$900) and 1 independent claim in excess of 3 (\$200.00), as a Large Entity, and the Fee for Recordation of the Assignment (\$40);
- 14) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted, NATH & ASSOCIATES PLLC

Βv

Gary M. Nath, Reg. No. 26,965 Tanya E. Harkins, Reg. No. 52,993

Customer No. 20529

NATH & ASSOCIATES PLLC 112 South West Street, Alexandria, VA 22314 GMN/TEH/sw (NatlPhase.Application)